CAL-ACCESS Replacement System Project

California Secretary of State

CARS Change Control Plan

Draft V0.4D

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REVISION SUMMARY

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0.1	07/11/2017		Initial Draft
0.2	08/07/2017		Reviewed initial draft. Minor grammatical and term changes
0.3	08/09/2017		Initial draft finalized
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DOCUMENT APPROVAL

Project Name: CAL-ACCESS Replacement System Project

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Signatures:

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(CARS Project Sponsor)   Date

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(CARS Director Project Management Office)   Date

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(SOS Political Reform Division Chief)   Date

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(SIS CIO and IT Division Chief)   Date

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(SOS Management Services Division Chief)   Date

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1 Introduction

In 1974, California voters approved Proposition 9, the Political Reform Act of 1974 (PRA). The PRA requires, among other things, the disclosure of campaign contributions and expenditures, and state lobbying activity, so that receipts and expenditures in election campaigns are fully disclosed so voters may be fully informed, improper practices may be inhibited, activities of lobbyists are regulated and their finances disclosed in order that improper influences will not be directed at public officials.

In 1997, the PRA was amended to include the Online Disclosure Act, a measure that paved the way for electronic and online submission of campaign and lobbying disclosure information over the Internet. This Act had the following two primary objectives:

- Providing greater public access to vitally important information and
- The gradual elimination of paper filings of campaign finance and lobbying activity statements and reports.

The Online Disclosure Act led the Secretary of State (SOS) to develop and deploy a public website called the California Automated Lobby Activity and Campaign Contribution and Expenditure Search System (CAL-ACCESS), which is the public's window into California's campaign disclosure and lobbying financial activity.

To interpret and enforce the requirements of the PRA, the Fair Political Practices Commission (FPPC) was established. The FPPC has primary responsibility for the impartial administration, implementation and enforcement of the PRA. The Franchise Tax Board (FTB) is responsible for carrying out mandatory and random audits of filers and the disclosure data filed with the SOS. All three agencies rely heavily on CAL-ACCESS, and work cooperatively and collaboratively to fulfill mandated duties.

To assure the highest standards of data integrity and timeliness, the Political Reform Division (PRD) was established within the SOS to administer state filing requirements set forth in the PRA. The PRD, staffed with 29 full-time positions, conducts a broad range of program activities to facilitate and monitor compliance with reporting requirements and to provide public access to all data and filings. Filing requirements for campaign committees and lobbying entities provide for two basic steps – registration and reporting. Three dozen different forms that capture specific information based on committee or lobbying entity type and activity are used for these purposes. Over the last four two-year election cycles, the PRD has averaged approximately 97,000 campaign and lobbying filings in election years and 61,000 campaign and lobbying filings in non-election years. Since 1999, the earliest stages of CAL-ACCESS development, more than 1.2 million filings have been processed. A filing is a report or statement that can range in size from a single page to thousands of pages.

In addition, the PRD is required to publish biennially a Lobbying Directory that includes identifying information on registered lobbyists, lobbying firms, and lobbyist employers and clients.

1.1 Change Control Plan Purpose

This Change Control Plan defines the CARS Project Change Control activities, processes, and tools. The purpose of this plan is to document how changes to the CARS system are managed as it is developed and through implementation. This plan describes a standardized Change Control System Change Request (SCR) process that explains the mechanisms and documentation used to evaluate, analyze, process, and track the SCR lifecycle.

1.2 Change Control Plan Scope

The plan is applicable to any change to the CARS System Integrator (SI) vendor contract and to any other changes that may affect the functionality or performance of the CARS system.

The SOS will only consider and approve essential SCRs as determined by the SOS CARS Change Control Board (CCB). The SOS will reject SCRs where:

- The proposed change violates existing law;
- The request lacks sufficient justification; and/or
- There is a reasonable and adequate workaround for the submitted change.

This plan documents the SCR process to ensure that each proposed system change includes a strong business justification, is adequately analyzed, and that only essential changes are approved. Some of the types of changes that may lead to an approved CARS SCR include:

- Changes to business and technical requirements or SOS agreements;
- Changes to system functionality already accepted by the SOS; and/or
- Any change to CARS project artifacts that bring a change to CARS functionality and quality of the solution.

This plan also documents the process for completing and tracking SCRs and Work Authorizations (WA). Any work required, as a result of an SCR approval, whether it involves cost or not, must be authorized to begin. There are however exceptions where changes may proceed without a formal authorization. These exceptions will be determined by the Change Control Board based on the severity and impact of change requested.

1.3 Change Control Plan Maintenance

Change Control is a dynamic process with touch points to several other management activities, such as Issue Management, Document Management, Deliverable Management, and Release Management. As such, the Change Control process must be reviewed periodically and adjusted as required to best support the project's needs and provide an efficient, yet thorough, process in order to provide visibility and predictability. The Change Control Process is governed by the CCB and maintained by the CARS Change Control Manager.

2 Roles and Responsibilities

This section describes various roles and responsibilities specific to the CARS Project Change Control. These roles augment the project's logical roles as documented in the CARS Project

Roles and Responsibilities, currently located in the CARS Project Library available at the following place:

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2.1 SCR Requestor

A request to any change to the CARS Project can originate from either the CARS Team, which consists of the SOS CARS stakeholders and integration partners or the CARS SI. The SCR Requestor is the person who initiates the request and provides a full description of the change.

Requests are submitted to the project through the CARS SCR form. For requests originating from within the SOS CARS team, the requestor provides the description of the change with business justification, stakeholder impact, implementation need date and point of contact information.

2.2 SCR Submitter

The SCR Submitter, who may also be a requestor, is the person responsible for drafting and submitting the SCR form. The submitter is responsible for validating the request, business justification, stakeholder impact, establishing the "implementation need by" date and working with the Change Review Team in defining the request. The SCR Submitter participates in the Change Review Team meetings, and during the analysis, analysis review, and final SCR implementation validation process.

Any one of the following project team members may be a CARS SCR Submitter:

- CARS Project Team member, including Political Reform Division (PRD) Lead, Information Technology Division (ITD) Lead, and Project Management Team;
- SI Project Manager

2.3 SOS CARS Change Control Manager

The SOS CARS Change Control Manager (CCM) is an SOS CARS Project Team member who is responsible for managing the Change Control process. The Change Control Manager monitors each SCR through its lifecycle to ensure process conformance. The Change Control Manager is responsible for keeping relevant status and tracking information in the SCR Log current and providing SCR status and SCR budget status reports to management as required.

2.4 SOS CARS Project Manager

The SOS CARS Project Manager leads the CARS Project Team. The CARS PM participates in the preliminary impact analysis of an SCR and other Change Control activities as required.

2.5 SOS CARS Project Director

The SOS CARS Project Director (Project Director) is responsible for determining, based on recommendation from the Preliminary Impact Analysis Team, whether a submitted CR that initially included insufficient information should proceed forward to detailed impact analysis and

evaluation, or should be rejected. The Project Director is responsible for engaging the CCB whenever required. The Project Director is responsible for communicating disposition on a CR from the CCB, Project Sponsor, and Executive Steering Committee to the Change Control Manager.

2.6 Change Control Board

The Change Control Board (CCB) is comprised of the CARS Project Sponsor as the CCB chair, CARS Project Director, the SOS PRD Chief, the SOS ITD Chief, and the SOS MSD Chief. The CCB is responsible for approving or rejecting requested changes that are referred by the Project Director and have an estimated impact of less than 5% on the project's total scope, budget, and/or schedule. The CCB has the following key responsibilities in the Change Control process:

- Reviewing the output of the detailed impact analysis and determining whether the analysis is sufficient to enable the CCB (or others) to make a decision concerning the CR;
- Making the decision to reject submitted CRs regardless of estimated impact percentages, to accept CRs within its approval limits, and to escalate CRs which exceed its approval limits (along with a recommendation, should the CCB so decide); and
- Communicating the decision.

2.7 Change Request Owner

The Change Request Owner (CRO) is a CARS Project Team member who has the primary responsibility for the CR. The owner is responsible for successful execution of the draft and the preliminary review and the Detailed Impact Analyses. The CRO collaborates with the team to effectively coordinate all activity required in order to analyze, document, and support CCB questions about the CR.

2.8 Change Review Team

The Change Review Team (CRT) includes the CCM, the CARS PM, the CRO and Impact Analysis Team. Other project team members are included as required. This team meets and is responsible for working with the submitter and/or requestor and affected vendors to understand whether and how the CR impacts the functionality and quality, and/or schedule. This team is responsible for conducting the preliminary assessment to clarify the nature of the project impact and/or the recommended priority of the CR and for submitting this information and the updated CR to the CARS Project Director. This team is also responsible for collecting information necessary to determine the level of impact on all stakeholders and overall priority.

2.9 Impact Analysis Team

The Impact Analysis Team (IAT) is responsible for performing detailed analysis of the impact of the requested change on each area of the project. The composition of this team may vary for each individual CR, but always consists of functional area Subject Matter Experts (SMEs). For any given CR, the following could be requested to perform detailed impact analysis:

- CARS core team members (CARS Project Management team);

- SI team members;

For any given CR, the following participants may be requested to support the Detailed Impact Analysis:

- IV&V team
- External Interface Partners; and/or
- SOS subject matter experts

2.10 SOS CARS Project Sponsor

The Project Sponsor is responsible for deciding the disposition of requested changes with an estimated project impact of between 5% and less than 10% on the project's total scope, schedule, and/or budget. The Project Sponsor decides the disposition of CRs that the CCB has escalated. The Project Sponsor is responsible for communicating the CR disposition to the CARS Project Director.

2.11 Executive Steering Committee

The Executive Steering Committee (ESC) is responsible for deciding the disposition of CRs that have been escalated by the Project Sponsor and have an impact of 10% or more on the project scope, schedule, and/or budget.

3   Change Control Process

When an SCR is approved, each SCR takes on its own sub-project lifecycle. With this consideration, it is important to understand that prioritization of SCRs and release schedule management (scheduling) becomes a crucial factor in managing the CARS Project changes.

This section documents the Change Control Process for managing a CR through the complete lifecycle. The process moves through the following stages:

- CR preparation, preliminary review and submission by a Submitter;
- Team Draft review (weekly CR meeting);
- Team Impact Analysis review, Work Authorization (WA) preparation and CR approval submission
- Evaluation of CR/WA by the Project Director and CCB as necessary;
- Disposition and/or escalation of the CR; and,
- Communication of CR/WA disposition to appropriate stakeholders.

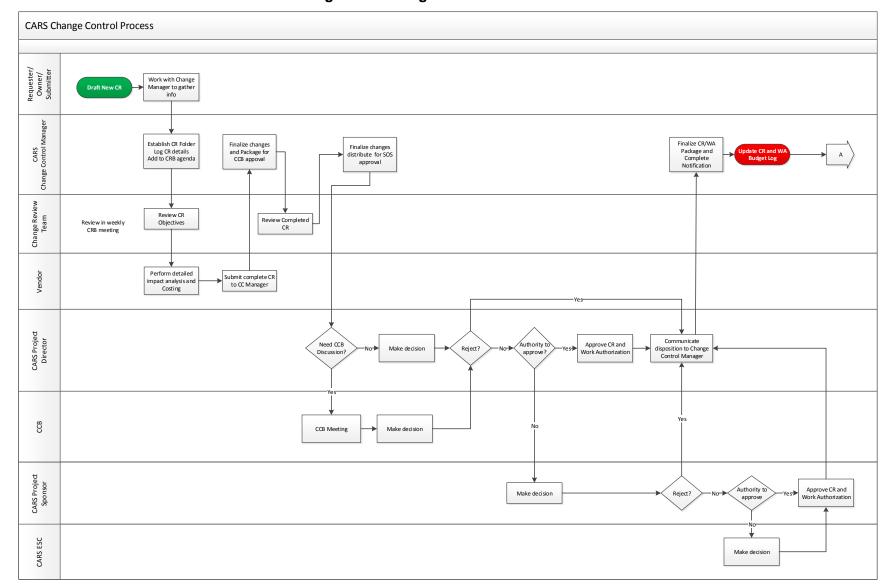The complete Change Control process is described at a high level in the following flow diagram:

Diagram 1: Change Control Process Flow

3.1 Submit Proposed System Change Request

The proposed SCR is submitted to the CARS Change Manager.

3.2 System Change Request Status Update

The Change Review Board (CRB) is instituted in order to provide a controlled process to manage the SCR lifecycle.

3.3 Change Request Submission and Ongoing Evaluation

To submit a requested change and initiate the Change Control Process, a submitter does the following:

- Complete the Project Change Request portion (Section A) of the CARS CR form (see 4.1.1 Section A of this document).
- Submit the form via email to the Change Control Manager, attaching the completed CR form in Microsoft Word format.

A Change Request may originate from outside of the project or as an output of other CARS Project process activities including Risk, Issue, and Deliverable Management.

For a newly submitted Change Request, the Change Control Manager does the following:

- Receive the form, assign a CR number, establish the CR folder in the shared drive, and record all the details about the request into the CR Log.
- Assigns and logs the Owner based on the primary impacted functional area Project Manager or Project Lead.
- The Change Control Manager, along with the submitter and owner, performs a preliminary verification of the information on the CR and gathers sufficient information from the submitter, requestor (if different than submitter), subject matter experts, affected stakeholders, and other sources (as required) to answer the following questions:
    o Is this a new and unique request?
    o Is this clearly a project change request? Is the nature of the impact on the project clearly identified?
    o Is there sufficient information to verify/confirm the preliminary priority of the CR?
    o Has the submitter provided all requested information?
    o Does the request represent a change to the project's scope, schedule, budget, and/or quality and, assuming "yes," what is the nature of that change and impact?
    o What is the priority of the requested change over other project activities and why?

If the submitted CR is not new, the Change Control Manager does the following:

- Update the existing record in the CR Log and make all of the existing Change Log information and current status available to the Submitter of the new CR to confirm by email if the CR is a duplicate or not. If duplicate, the new request can be closed.
- Upon receiving the confirmation from the Submitter, the Change Control Manager links the two CRs in the log using the notes and references field and closes the record for the new CR.

3.4 Change Request Review and Detailed Analysis

The Change Control Manager works with the CRO and the Impact Analysis Team to more clearly specify the nature of the requested change's impact on project (e.g., schedule, scope, budget and/or quality), the priority and, potentially, any timing constraints associated with the requested change.

The Impact Analysis Team does the following:

- Define the estimated impact the change would have on the project in terms of scope, schedule, quality, effort (which contributes to costs and, eventually, budget) and/or other costs (such as new equipment, which contributes to budget) if the change were implemented. Specifically, the Impact Analysis Team analyzes the CR for a variety of elements including but not necessarily limited to:
  - o Impact to work plan (budget/schedule/other);
  - o Evaluation of risk items associated with the CR proposal;
  - o Impact on the SOS staff (e.g., system users and administrators, support staff, etc.);
  - o Dependencies and/or conflicts;
  - o Aggregate effect of the change;
  - o Impact on other approved CRs being implemented;
  - o Impact on other pending CRs;
  - o Impact on system capacity and/or performance;
  - o Impact to external partners;
  - o Impact if change cannot be completed within proposed schedule;
  - o The proposed revised schedule to implement the change; and
  - o Significant impact to the project due to political nature of the requested change.

As each element is considered, SMEs from each of the project's impacted functional areas assess the impact, clearly documenting the change, effort to implement, and duration of the effort (and underlying resource assumptions). If there is no impact to a specific functional area, this is also documented to demonstrate the functional area had been considered within the analysis.

- Document recommendations and alternatives for the requested change and submit the results to the Change Control Manager by completing the Detailed Impact Analysis Report. If the Detailed Impact Analysis takes longer than earlier estimated, the CRO works with the CCM to re-estimate and/or take corrective action.

- Conclusion of the Impact Analysis is summarized to the CRT during the weekly CR meeting.

3.5 Change Request Submission for Approval

After the Impact Analysis Team completes the analysis of the CR, the CR is formally submitted to the CCM with cost estimates.

The CCM does the following:

- Coordinate internal review to determine completeness and CR budget impact.
- Develop the Change Control Summary and include recommendation;
- Provide copies to the CARS Project Manager prior to the weekly SOS management review
- Update the CR status on the CR Log and update the WA log with the estimated cost

3.6 Project Director Evaluation and Disposition

After the Impact Analysis Team completes the analysis of the CR, the CCM provides the CR, impact analysis results, estimated cost and recommendation to the CARS Project Director for review.

The Project Director evaluates the CR and the supporting materials and decides whether the requested change should be rejected or approved for implementation. The CARS Project Director may decide to seek CCB discussion on the requested change. The CCM records the disposition in the CR Log.

3.7 CCB Evaluation and Disposition

If the CARS Project Director requires a CCB discussion, the CCM distributes the CR and Detailed Impact Analysis Results and recommendation to the CCB for review at least one week in advance of the CCB meeting, if possible. The CCB convenes at least once a month to consider all CRs pending review and decision and may meet more frequently if the CCM determines that a time-sensitive or high-priority CR(s) so warrants.

The CCB does the following:

- Evaluate the CR and decide whether the requested change should be rejected or approved for implementation, or escalate the CR to the CARS Project Sponsor.

3.8 Decision and Escalation

The CARS Project Director and CCB have the authority to reject any CR submitted for a decision. If the CARS Project Director does not have approval authority for a requested change (due to estimated impact), if the CARS Project Director and/or the CCB cannot reach a decision, and/or if they perceive the requested change to have such a significant impact on a large number of the CARS stakeholders that it warrants CARS Project Sponsor evaluation and

determination, the CARS Project Director may escalate the CR to the CARS Project Sponsor along with a recommendation (if any).

The Project Sponsor decides whether to implement or reject the requested change. If the CARS Project Sponsor does not reject the CR and the CARS Project Sponsor does not have the authority to approve (due to estimated impact), (s)he escalates the CR to the CARS ESC along with a recommendation (if any).

The CARS ESC decides whether to implement or reject the requested change. The following approval authority limits may apply to decision making in the Change Control process.

Table 1: Approval Authority Limits

ROLE	APPROVAL AUTHORITY LIMIT
Project Director	0 - 4.99% Change
SOS Project Sponsor	5.0 - 9.99% Change
Executive Steering Committee	10.0+% Change

Note: Percentage of change refers to budget, scope, and/or schedule

There may be other management or executive level considerations which, other than the quantitative factors or role-based approval authority described above, may cause the CR to be approved or escalated.

3.9 Change Communication

The CARS Project Director receives the CCB's decision by being part of the CCB. If the CR was escalated to the CARS Project Sponsor or the CARS ESC, the CARS Project Director receives the decision.

The CARS Project Director communicate the decision to the CCM. The CCM does the following:

- Communicate the decision to all affected teams within the project, including the IV&V and the IPOC.
- Update the CR and WA Budget Log.
- Provide update to the IPS with the CR Implementation schedule.

3.10 Change Control Documentation Updates

The CCM collects the CR. The CCM does the following:

- Scan the signed CR, store in shared directory and submit the original to the SOS CARS Contract Manager
- Update the Change Control Log with CR status
- Create a row on the WA log for approved CRs

3.11 Work Authorization Submission

If the CR is accepted, the CCM coordinates with the CR owner to complete a WA to submit for management approval. An approved WA provides the authority to commence the work approved for change. The WA must be submitted in a timely manner, commensurate to the priority of the CR. For tracking purposes, the WA holds the same number as the associated CR, i.e. the approved CR123 will have WA123.

WA's shall include, at a minimum:

- Complete description of the work to be performed;
- Schedule for the work to be performed;
- Contractor resource classifications that are used to perform the work;
- Deliverables to be produced; and
- Cost of work to be performed to address the WA and whether the cost reflects a fixed price, time and materials, or not to exceed amount.

The Contractor submits the form via email to the CCM, attaching the completed WA form in Microsoft Word format.

The Change Control Manager receives the form, validates completion and accuracy against CR and records all the details about the WA into the WA Log.

3.12 Work Authorization Implementation

Once a WA has been issued, the CCM works with the CARS Project Manager as well as the SI Project Managers and all other affected stakeholders, to make necessary adjustments to the CARS schedule, and other process and functional areas as required. Required summary information for the change is captured in the Detailed Impact Analysis Report (refer to Appendix A of this document).

Notification of Change: If while performing the work required addressing a WA, which was accepted as an estimated number of hours (i.e. time and materials), and the work cannot be completed within the estimated number of hours authorized, the contractor immediately notifies the SOS in writing. The Contractor relays the total number of hours already expended (if any) at the time of the notification.

Upon receipt of such notification, the SOS may elect to:

- Authorize Contractor to expend the estimated additional labor hours in excess of the original estimate necessary to accomplish the WA; or
- Terminate the WA; or
- Alter the scope of the WA in order to define tasks that can be accomplished within the remaining estimated labor hours; or
- Provide acceptance for the work provided and set-off from the cost previously agreed upon for the work to the extent determined to be appropriate by the SOS.

The SOS shall notify the contractor of its decision in writing within five (5) business days of receiving the written notification from the contractor.

3.13 Change Control Meetings

The project CCM provides Change Control status at least once every month and on an ad hoc basis if a high-priority or time-sensitive CR so warrants. The Biweekly CARS Project Team meeting is where Change Control status is regularly provided. This meeting includes participants from the SOS, the SI Vendor, IV&V, and IPOC.

4 Forms, Reports and Logs

4.1 System Change Request Form

Using the SCR Form, the submitter provides all details about the problem statement, requested changes, and business justification for the change. The information provided on the SCR form is required to be as descriptive as possible so that the Detailed Impact Analysis Team has sufficient information to evaluate the proposed change.

The Impact Analysis Team provides its assessment using the Impact Analysis Report. Through this portion of the form, the team reports on how the change, if implemented, affects the CARS Project scope, schedule, quality, and/or cost. The team highlights the benefits and risks of accepting the change. The CCM completes the portions of the form to record the CCB disposition.

The most current version of the form is located at the following path:

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4.2 System Change Request Log

The CARS SCR Log contains a list of all the SCRs proposed and generated for CARS. The Change Control Manager is primarily responsible for ensuring that the tool is used consistently and that the log is kept current with the latest information at all times.

Following are the various fields of the SCR Log:

Table 2: Change Request Log Fields

FIELD	DESCRIPTION
Change Request #	Unique number assigned to the Change Request
Change Request Title	Title of Change Request
Summary of Change	Brief summary of the requested change as received from the Submitter
Submitted By	Person who submitted the Change Request
Requested By	Person who requested the Change

Initial Date Submitted	Date on which Change Request was submitted
Owner	Change Request Owner
Status	Current status of the Change Request [New, Open, or Closed]
Priority (L/M/H)	Priority of the Change Request
Decision Authority	Who is the decision authority based on the magnitude of change (CCB, Project Sponsor, or ESC)
Date: Action to Date	Activities done to date on the requested change. Sample: mm/dd/yyyy: <description>
Disposition	Decision made e.g., approved or rejected
Decision By	Who is responsible for the decision [Project Director, CCB, Sponsor, or ESC]
Date Resolved	Date on which decision was recorded
Notes and References	Additional notes and reference of path to the Change Request Form and Preliminary and Detailed Impact Analysis Reports if detailed impact analysis was done
Resolution Comments	Final Resolution Comments provided by CR owner

4.3 Work Authorization Form

An SCR may be approved but it is not authorized to commence work without a signed WA from the SOS. The WA form must be countersigned by the executing vendor to acknowledge agreement to execute the work. Unless otherwise specified within the WA form, the countersign from the vendor binds the parties to the work defined in the SCR.

The WA Form is completed by the CCM and is included in the SCR package when submitted to CCB for approval. Using the WA Form, the submitter provides all details about the work authorization. WA's shall include, at a minimum:

- The WA is assigned a number that corresponds with the SCR number. The format is WA## where ## represent that number assigned to the SCR.
- The form refers to the SCR number and the SCR Title
- The form states the date when work must be completed by.
- The form indicates whether the work is performed at a zero cost or a not-to-exceed cost if cost applies.

The most current version of the WA form is incorporated into the SCR form template and located at the following path:

REDACTED

4.4 Work Authorization Log

The CARS WA Log (refer to Appendix D) contains a list of all the WAs generated in the project and the supporting details. The Change Control Manager is primarily responsible for ensuring that all details are accurately captured in the log and that the log is kept current with the latest information at all times. Following are the various fields of the WA Log:

Table 3: Work Authorization Log Fields

FIELD	DESCRIPTION
Work Auth #	Number assigned to the Work Authorization (generally corresponds to the CR Number): VC-WA #
Work Auth Title	Title of Work Authorization (generally corresponds to the CR Number)
Cost/No Cost	For each vendor section, indicates whether the WA has an associated cost or not
Work Auth Submitted to SOS	For each vendor section, date that the WA was submitted to SOS by the contractor for signature
SOS Work Auth Signature #1 Date	For each vendor section, Date that the SOS authorized the Contractor to perform the work (Assumes Contractor Signature had already been provided)
SOS Work Auth Signature #2 Date	For each vendor section, Date that the SOS accepts the Work Authorization as complete (Assumes Contractor Signature had already been provided)
Notes and References	Additional notes and references for the work authorization

Most current version of the CARS Work Authorization Log can be found at the following location:

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Appendix A: CR Log

Change Request #	Change Request Title	Summary of Change	Cost/No Cost	Submitted By	Requested By	Initial Date Submitted	Owner	Status	Priority (L/M/H)	Decision Authority	Date; Action to Date	Disposition	Date Resolved	Impacted Teams	Notes and References	Resolution Comments